

EXHIBIT A



60-77
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MARCH 20, 2001

COOPER & DUNHAM LLP
JOHN P. WHITE, ESQ.
1185 AVENUE OF THE AMERICAS
NEW YORK, NEW YORK 10036

PTAS RECEIVED
COOPER & DUNHAM

MAR 23 2001

DOCKET CLERK



101577381A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/21/2000

REEL/FRAME: 011404/0865
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

STERN, DAVID M.

DOC DATE: 08/17/2000

ASSIGNOR:

SCHMIDT, ANN MARIE

DOC DATE: 08/17/2000

ASSIGNOR:

YAN, SHI DU

DOC DATE: 08/17/2000

ASSIGNOR:

ZLOKOVIC, BERISLAV

DOC DATE: 10/26/2000

ASSIGNEE:

TRUSTEES OF COLUMBIA UNIVERSITY IN
THE CITY OF NEW YORK, THE
BROADWAY AND WEST 116TH STREET
NEW YORK, NEW YORK 10036

SERIAL NUMBER: 09638648

FILING DATE: 08/14/2000

PATENT NUMBER:

ISSUE DATE:

011404/0865 PAGE 2

STEVEN POST, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

01-10-2001

Docket No. 0575/62097/JPW/JML

FORM PTO-1595 (Substitute)

(Rev. 8-96)



101577381

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

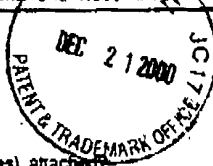
of documents or copy thereof.

To the Honorable Commissioner of Patents and Trademarks

1. Name of conveying party(ies):

David M. Stern,
Ann Marie Schmidt,
Shi Du Yan, and
Berislav Zlokovic

Additional name(s) of conveying party(ies) attached:

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: The Trustees Of Columbia University
In The City Of New York

Internal Address:

Street Address: Broadway and West 116th Street

City/State/Zip: New York, New York 10036

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date(s): August 17, 2000 and
October 26, 2000Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date(s) of the application is(are):

A. Patent Application No.(s) 09/638,648

Filed: August 14, 2000

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: John P. White, Esq.

Internal Address:

Street Address: Cooper & Dunham LLP

1185 Avenue of the Americas

City/State/Zip: New York, New York 10036

6. Total number of applications and patents involved:

7. Total fee (37 CFR 53.41): \$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

03-3125

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Jane M. Love Reg. No. 42, 812

Name of Person Signing

Signature

Jane M. Love

12/18/00

Date

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Jane M. Love 12/18/00
DateJohn P. White
Reg. No. 28,678
Jane M. Love
Reg. No. 42,812

Total Number of pages including cover sheet, attachments and document: 5

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

01/09/2001 NTHA11 00000231 033125 09638648

0575/62097/JPW/JML

Assignment

In consideration of One Dollar (\$1.00), and other good and valuable considerations, the receipt of which is hereby acknowledged, we, the undersigned, David M. Stern, Ann Marie Schmidt, Shi Du Yan and Berislav Zlokovic, residing at: 63 Tanners Road, Great Neck, New York, 11020; 242 Haven Road, Franklin Lakes, New Jersey, 07417 60 Haven Avenue, Apartment 4-B, New York, New York 10032; and 3345 Elmwood Avenue, Rochester, New York, 14610, respectively.

Hereby sell, assign and transfer to The Trustees of Columbia University in the City of New York a corporation of the State of

New York having a place of business at Broadway and West 116th Street New York, New York 10027

its successors, assigns and legal representatives, the entire right, title and interest for all countries, in and to any and all inventions which are disclosed and claimed, and any and all inventions which are disclosed but not claimed, in the application for United States Patent, which has been executed by the undersigned on August 17, 2000 and October 26, 2000 and is entitled

A METHOD TO INCREASE CEREBRAL BLOOD FLOW IN AMYLOID ANGIOPATHY
(U.S. Serial Number 09/638,648, filed August 14, 2000)

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for U.S. Letters Patent or other related property rights in any and all foreign countries which have been or shall be filed on any of said inventions disclosed in said application; and in and to all original and reissued patents or related foreign documents which have been or shall be issued on said inventions;

Authorize and request the Commissioner of Patents of the United States to issue to said Assignee, the corporation above named, its successors, assigns and legal representatives, in accordance with this assignment, any and all United States Letters Patent on said inventions or any of them disclosed in said application;

Agree that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned or the undersigned's executors or administrators will, for the United States and all foreign countries execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: 8/17/2000 20
 Witness: Peter S. Wolf
PETER S. WOLF
12 RICHARD SCHMERS RD
GRANITE SPRINGS, NY 10527

David M Stern [L.S.]
 David M. Stern

Date: 8/17/2000 19
 Witness: Peter S. Wolf
PETER S. WOLF
12 RICHARD SCHMERS RD
GRANITE SPRINGS, NY 10527

Ann Marie Schmidt [L.S.]
 Ann Marie Schmidt

Shi Du Yan

L.S.

Shi Du Yan

Date: 8/17/2000 19

Witness: *Peter S. Wolf*

PETER S WOLF

12 BROAD ST

GRANITE SPRINGS, NY 10527

L.S.

Berislav Zlokovic

Date: _____ 19

Witness: _____

L.S.

Shi Du Yan

Date: _____

Witness: _____

L.S.

Berislav Zlokovic

Date: 10/30/00
Witness: Paula C. Ungerman
James C. Lingeman
15 Lynnewood Drive
Liveria, NY 1487

COOPER & DUNHAM LLP
ATTORNEYS AT LAW

1185 AVENUE OF THE AMERICAS, NEW YORK, NEW YORK 10036
TELEPHONE: (212) 278-0400

CHRISTOPHER C. DUNHAM	IVAN S. KAVRUKOV
NORMAN H. ZIVIN	PETER D. MURRAY
JOHN P. WHITE	JAY H. MAIOLI
WILLIAM E. PELTON	ROBERT B. G. MOROWITZ
ROBERT D. KATZ	PETER J. PHILLIPS
DONNA A. TOBIN	WENDY E. MILLER
RICHARD S. MILNER	ROBERT T. MALDONADO
RICHARD F. JAWORSKI	ERIC D. KIRSCH
PAUL TENG	ALAN J. MORRISON
PEYRO C. FERNANDEZ	GARY J. CERSHIK
MICHAEL F. MORANO	CHRISTINE S. NICKLES
JASON S. MARIN	SPYROS S. LOUKAKOS*
KEITH J. BARKAUS	MARIA V. MARUCCI
HARVEY ACOSTA	DEEPRO R. MUKERJEE
ANTHONY V. FLINT	PAUL S. LIM
ARIAN A. BARYALAI*	AUDE GENSCHACHER
ASHTON J. DELAUNEY*	JEFFREY C. SHIEH*
CINDY YANG	NARESH SRITHARAN*
HON BILLINGSLEY	

FACSIMILE: (212) 391-0525
(212) 391-0526
(212) 391-0630

OF COUNSEL
DONALD S. DOWDEN
JOHN R. GARBER
MARK A. FARLEY

SCIENTIFIC ADVISORS
BRIAN J. AMOS, PH. D.
NICHOLAS F. MUTO, PH. D.
JOSEPH B. CRYSTAL, PH. D.
ARMAND L. BALBONI, M. PHIL.
MURIEL M. LIBERTO, PH. D.
ANNE G. MARINOVIC, PH. D.
ANTHONY C. KHONG, PH. D.
JOHN X. HABERMAN, PH. D.

FACSIMILE TRANSMISSION

*NEW YORK STATE BAR ADMISSION PENDING

FOUNDED 1887

www.cooperdunham.com

PLEASE DELIVER THE FOLLOWING PAGES

TO : Examiner Thai-An Ton Art Unit: 1632

COMPANY/FIRM : U.S. Patent and Trademark Office

FACSIMILE NO.: (703) 746-3159

FROM : Alan J. Morrison, Esq./JCS

TOTAL NUMBER OF PAGES, INCLUDING COVER PAGE: 15

DATE : June 12, 2003 TIME: 4:00 pm

CLIENT/DOCKET: 0575/62097 - U.S. Serial No. 09/638,648

IF YOU DO NOT RECEIVE ALL THE PAGES, PLEASE CALL BACK AS SOON AS POSSIBLE TO (212) 278-0400.

MESSAGE:

=====

THE INFORMATION CONTAINED IN THIS FACSIMILE TRANSMISSION IS INTENDED SOLELY FOR THE PERSONAL AND CONFIDENTIAL USE OF THE DESIGNATED RECIPIENT(S) NAMED ABOVE. THIS TRANSMISSION MAY BE AN ATTORNEY-CLIENT COMMUNICATION CONTAINING INFORMATION THAT IS PRIVILEGED AND CONFIDENTIAL. IF THE READER OF THIS MESSAGE IS NOT A DESIGNATED RECIPIENT OR AN AGENT RESPONSIBLE FOR DELIVERING IT TO A DESIGNATED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT YOU HAVE RECEIVED THIS DOCUMENT IN ERROR, AND THAT ANY REVIEW, DISTRIBUTION, OR COPYING OF THIS MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, OR IF UPON READING THIS DOCUMENT YOU HAVE REASON TO BELIEVE THAT THE DOCUMENT WAS INADVERTENTLY SENT TO YOU, PLEASE NOTIFY US IMMEDIATELY BY COLLECT TELEPHONE CALL AND RETURN THE ORIGINAL MESSAGE TO US BY MAIL. THANK YOU.